

00/80/T  
JCC887 U.S. PTO

11-09-00

A

# LERNER AND GREENBERG, P.A.

PATENT ATTORNEYS AND ATTORNEYS AT LAW

2445 Hollywood Boulevard  
Hollywood, Florida 33020  
Tel: (954) 925-1100  
Fax: (954) 925-1101

PATENTUSA<sup>SM</sup>  
www.patentusa.com  
patents@patentusa.com

Herbert L. Lerner (NY Bar)  
Laurence A. Greenberg (FL Bar)

Werner H. Stemer (FL Bar), Senior Attorney

Ralph E. Locher (FL, IL, MO Bars)  
Manfred Beck (US & German Pat. Agent)  
Mark P. Weichselbaum (TN Bar)  
Gregory L. Mayback (FL Bar)  
Markus Nolff (FL Bar)  
Otto S. Kauder (Reg. Pat. Agent)  
Loren Donald Pearson (FL Bar)

New York Office  
153 E 57th Street  
Suite 15G  
New York, NY 10022

Mailing Address:  
Post Office Box 2480  
Hollywood, FL 33022-2480

"Express Mail" mailing label number EL608557825US  
Date of Deposit November 8, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Docket No.: GR 98 P 1686

  
MICHAEL BURNS

Date: November 8, 2000

Hon. Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

Enclosed herewith are the necessary papers for filing the following application for Letters Patent:

Applicant : ROBERT AIGNER

Title : THIN FILM PIEZOELECTRIC RESONATOR

2 sheets of formal drawings in triplicate.

A check in the amount of \$710.00 covering the filing fee.

PCT Publication (cover sheet only).

This application is being filed without a signed oath or declaration under the provisions of 37 CFR 1.53(d). Applicants await notification of the date by which the oath or declaration and the surcharge are due, pursuant to this rule.

The Patent and Trademark Office is hereby given authority to charge Deposit Account No. 12-1099 of Lerner and Greenberg, P.A. for any fees due or deficiencies of payments made for any purpose during the pendency of the above-identified application.

Respectfully submitted,



For Applicant

WERNER H. STEMER  
REG. NO. 34,956

LAG:tg

JCC887 U.S. PTO  
09/708278  
11/08/00

THIN FILM PIEZOELECTRIC RESONATOR

5 Cross-Reference to Related Application:

This is a continuation of copending International Application PCT/DE99/01393, filed May 7, 1999, which designated the United States.

10 Background of the Invention:

Field of the Invention:

The present invention relates to a thin film piezoelectric resonator which can be produced using micromechanical methods.

15 The resonant frequency of thin film piezoelectric resonators in the frequency range above 500 MHz is indirectly proportional to the layer thickness of the piezoelectric layer. The carrier membrane and the bottom and cover electrodes constitute an additional mass loading for the resonator which effects a reduction in the resonant frequency.

20 The thickness fluctuations in all these layers determine the range of manufacturing tolerances in which the resonant frequency of a specimen resonator lies. Layer thickness fluctuations of 5% are typical for sputtering processes in

25 microelectronics. A 1% tolerance can be achieved with a considerable outlay. Fluctuations occur both statistically

from wafer to wafer and systematically between the middle of the wafer and the edge. The resonant frequencies of individual resonators must exhibit an absolute accuracy of 0.5% for filters in the GHz range.

5

A plurality of resonators must be connected in a ladder configuration, lattice configuration, or parallel configuration for highly selected filters. The individual resonators must be detuned specifically relative to one another in order to achieve the desired filter characteristic.

10 It is preferable for reasons of cost to produce all the resonators of a filter from a piezoelectric layer of constant thickness; frequency tuning is performed by additive layers on the cover electrodes. An additional layer of different thickness must be produced for each resonant frequency which 15 occurs. This requires in each case a deposition or an etching step, connected to a lithography step. In order to limit this outlay, it is customary to produce only filter topologies with the aid of which only two resonant frequencies are set.

20

The resonant frequency of thin film piezoelectric resonators can basically be trimmed by applying additional layers, as described above, but this necessitates expensive lithography. Material can be removed over the entire surface by laser 25 trimming or ion-beam trimming, and this reduces the mass of the cover layer, although necessitating an expensive

fabrication step at the end of the fabrication process. It is true that the resonant frequency can be shifted by connecting capacitors or applying a d.c. voltage, but the trimming range is comparatively narrow. The same holds for thermal trimming 5 by heating up the resonator.

Summary of the Invention:

The object of the invention is to provide a thin film piezoelectric resonator which overcomes the above-noted

10 deficiencies and disadvantages of the prior art devices and methods of this kind, and which can be set to a prescribed resonant frequency using simple means and with high accuracy. It is a further object to specify how a plurality of resonant frequencies can be set in a simple way.

15

With the above and other objects in view there is provided, in accordance with the invention, a thin film piezoelectric resonator, comprising:

a lower electrode layer and an upper electrode layer;

20 a piezoelectric layer between the lower electrode layer and the upper electrode layer;

an additional layer disposed on the upper electrode layer, the additional layer having a structure setting a prescribed resonant frequency of the piezoelectric resonator.

In accordance with an added feature of the invention, the additional layer has holes defining the structure, and a spacing between each one of the holes and a respectively closest hole is smaller than a wavelength of an operating wavelength of the resonator.

In accordance with an alternative feature of the invention, the structure in the additional layer is defined by islands.

10 Similarly to above, a spacing between each one of the islands and a respectively closest island is smaller than the resonator operating wavelength.

In accordance with another feature of the invention, the structure is defined in such irregular distribution and dimensioning that diffraction phenomena are avoided.

In accordance with a further feature of the invention, the piezoelectric layer is formed of AlN, ZnO, or PZT ceramic.

20

In accordance with a concomitant feature of the invention, a carrier film of polysilicon is disposed below the lower electrode layer, the piezoelectric layer, and the upper electrode layer, and wherein a cavity is formed on a side of the carrier film averted from the lower electrode layer.

With the above and other objects in view there is also provided, in accordance with the invention, a piezoelectric resonator assembly, comprising a plurality of thin film piezoelectric resonators as outlined above. These thin film resonators are formed on a common chip and they are set to at least three different resonant frequencies.

In summary, the thin film piezoelectric resonator of the invention has, in the layer of the cover electrode, or in an additional layer specifically applied therefor, holes, preferably produced lithographically, or similar structures. The structures have a mean spacing from one another which is smaller than the acoustic wavelength provided during operation of the component. These structures are preferably distributed with a uniformity that is sufficient to effect a uniform change in the mass of the layer per area (area density), thus producing a specific setting of the resonant frequency/frequencies. On the other hand, the structures are preferably distributed so irregularly that diffraction effects are avoided.

Other features which are considered as characteristic for the invention are set forth in the appended claims.

Although the invention is illustrated and described herein as embodied in a thin film piezoelectric resonator, it is

nevertheless not intended to be limited to the details shown, since various modifications and structural changes may be made therein without departing from the spirit of the invention and within the scope and range of equivalents of the claims.

5

The construction and method of operation of the invention, however, together with additional objects and advantages thereof will be best understood from the following description of specific embodiments when read in connection with the accompanying drawings.

10

Brief Description of the Drawings:

Fig. 1 is a sectional view of an exemplary embodiment of a resonator according to the invention;

15

Fig. 2 is a partial section showing an enlarged view of the detail 9 marked in Fig. 1; and

Fig. 3 is a plan view showing the structure of the top layer.

20

Description of Preferred Embodiments:

Referring now to the figures of the drawing in detail and first, particularly, to Fig. 1 thereof, there is seen an exemplary resonator according to the invention, in cross section. A carrier film 2 is located on a substrate 1. The carrier film 2 is preferably formed of polysilicon. A cavity 4

in an auxiliary layer 3, for example made from oxide, is disposed below the carrier film 2. The cavity 4 is located in the region of a layer structure provided as resonator. The cavity typically has the illustrated dimension of

5 approximately 200  $\mu\text{m}$ . The layer structure of the resonator is located on the carrier film 2. The layer structure comprises a lower electrode layer 5 provided for the bottom electrode, a piezoelectric layer 6, and an upper electrode layer 7 provided for the cover electrode. The electrode layers 5, 7 are 10 preferably metal, and the piezoelectric layer 6 is, for example, AlN, ZnO, or PZT ceramic (PbZrTi). This layer structure overall typically has the illustrated thickness of approximately 5  $\mu\text{m}$ .

15 According to the invention, etching structures -- preferably produced lithographically -- are present in the upper electrode 7 or in a further layer applied thereto and denoted below as additional layer 8; these structures fix the resonant frequency or a plurality of different resonant frequencies in 20 the way provided. In the example illustrated in Fig. 1, these etching structures are located in an additional layer 8.

The detail marked in Fig. 1 within the circle 9 is shown in Fig. 2 in an enlargement in which it is possible to see the 25 structure of the additional layer 8 on the upper electrode

layer 7 and on the piezoelectric layer 6. The additional layer 8 is perforated in this example by a multiplicity of holes 10. The effective mass loading of the resonator, and thus the resonant frequency, are specifically set via the density of 5 the distribution of these holes 10. For a frequency of 1 GHz, the acoustic wavelength of current thin film piezoelectric materials is in the range from 5  $\mu\text{m}$  to 10  $\mu\text{m}$ . If the holes of the perforation and their spacing are substantially smaller than the acoustic wavelength, the perforation is fuzzy for the 10 acoustic wave and therefore does not scatter the wave; the perforation acts on the wave as a change in the mean density of the material. A further advantage achieved is to scatter higher modes of the resonator at the holes, thereby reducing the undesired influence of these modes on the filter 15 characteristic.

Referring now to Fig. 3, there is shown the additional layer 8 in plan view. The plan view shows the positioning of the holes 10 (approximately square here). Instead of individual holes in 20 the additional layer 8, it is also possible to have contiguous interspaces which, for example, occupy the entire region between the square regions 10 illustrated in Fig. 3. These regions then form islands 10 made from the material of the additional layer 8. The essence of the structure present is 25 that the cutout regions of the structured layer and/or the remaining islands are arranged such that the desired setting

of the resonant frequency is achieved. If the structure is directly present in the upper electrode layer 7, it is advisable to leave all of this electrode layer 7 except for holes of approximately the size and arrangement as illustrated 5 in Fig. 3 (holes 10).

When the resonator is being produced, fluctuations in the layer thickness can be evened out by specific and, if appropriate, (for example through the use of steppers) 10 spatially varying overexposure or underexposure in the lithography. An arbitrary number of resonant frequencies can be implemented on the same chip without additional outlay with the aid of a plurality of resonators of appropriate design. During production, this requires merely a change in the 15 spacing and the size of the holes in the mask used for the lithography. In particular, filters with parallel resonators and filter banks for separating frequency bands can be implemented easily in this way.

I claim:

1. A thin film piezoelectric resonator, comprising:

a lower electrode layer and an upper electrode layer;

a piezoelectric layer between said lower electrode layer and said upper electrode layer;

an additional layer disposed on said upper electrode layer, said additional layer having a structure setting a prescribed resonant frequency of the piezoelectric resonator.

2. The resonator according to claim 1, wherein said structure in said additional layer is defined by holes, and wherein a spacing between each one of said holes and a respectively closest hole is smaller than a wavelength of an operating wavelength of the resonator.

3. The resonator according to claim 1, wherein said structure in said additional layer is defined by islands, and wherein a spacing between each one of said islands and a respectively closest island is smaller than a wavelength of an operating wavelength of the resonator.

4. The resonator according to claim 1, wherein said structure is so irregular that diffraction phenomena are avoided.

5. The resonator according to claim 1, wherein said piezoelectric layer is formed of a material selected from the group consisting of AlN, ZnO, and PZT ceramic.

6. The resonator according to claim 5, which further comprises a carrier film formed of polysilicon formed below said lower electrode layer, said piezoelectric layer, and said upper electrode layer, and wherein a cavity is formed on a side of said carrier film averted from said lower electrode layer.

7. A piezoelectric resonator assembly, comprising a plurality of thin film piezoelectric resonators according to claim 1 formed on a common chip, said resonators being set to at least three different resonant frequencies.

**COMBINED DECLARATION AND POWER OF ATTORNEY  
IN ORIGINAL APPLICATION**

As a below named inventor, I hereby declare that: my residence, post office address and citizenship are as stated below next to my name; that I verily believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**THIN FILM PIEZOELECTRIC RESONATOR**

described and claimed in the specification bearing that title, that I understand the content of the specification, that I do not know and do not believe the same was ever known or used in the United States of America before my or our invention thereof, or patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to this application, that the same was not in public use or on sale in the United States of America more than one year prior to this application, that the invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve month prior to this application, that I acknowledge my duty to disclose information of which I am aware which is material to the examination of this application under 37 C.F.R. 1.56a, and that no application for patent or inventor's certificate of this invention has been filed earlier than the following in any country foreign to the United States prior to this application by me or my legal representatives or assigns:

German Application No. 198 20 755.7, filed May 8, 1998, the International Priority of which is claimed under 35 U.S.C. §119; and International Application No. PCT/DE99/01393, filed May 7, 1999, the Priority of which is claimed under 35 U.S.C. §120.

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

HERBERT L. LERNER (Reg.No.20,435)  
LAURENCE A. GREENBERG (Reg.No.29,308)  
WERNER H. STEMER (Reg.No.34,956)  
RALPH E. LOCHER (Reg.No. 41,947)

Address all correspondence and telephone calls to:

LERNER AND GREENBERG, P.A.  
POST OFFICE BOX 2480  
HOLLYWOOD, FLORIDA 33022-2480  
TEL: (954) 925-1100  
FAX: (954) 925-1101

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF SOLE INVENTOR:

ROBERT AIGNER

INVENTOR'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

Residence: MÜNCHEN, GERMANY

Country of Citizenship: GERMANY

Post Office Address: EINSTEINSTRASSE 104/8-13  
D-81675 MÜNCHEN  
GERMANY

---

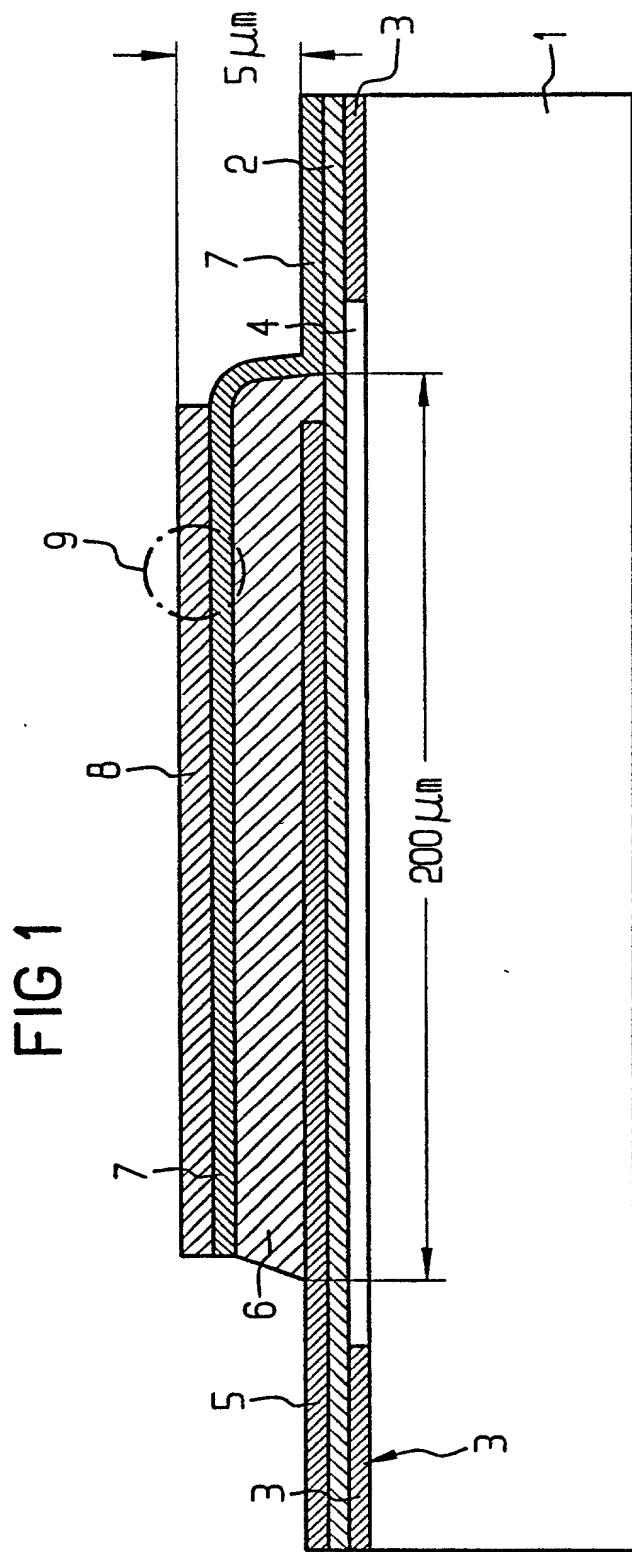
Abstract of the Disclosure:

The layer of the cover electrode, or an additional layer on the cover electrode is formed with holes, preferably produced lithographically, or similar structures. The structures have a mean spacing from one another which is smaller than the wavelength for operating the component. The structures are preferably distributed with a uniformity sufficient to effect a uniform change in the mass of the layer per area, thus producing a specific setting of the resonant frequency/frequencies, and are preferably, on the other hand, distributed so irregularly that diffraction effects are avoided.

the *Journal of the Royal Society of Medicine* (1957, 50, 101-102) and the *Journal of Clinical Pathology* (1957, 11, 211-212).

WHS:tk - 98p1686F//11/8/2000

1/2



2/2

FIG 2

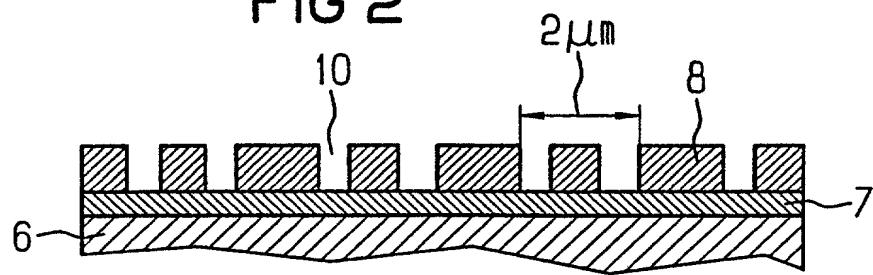


FIG 3

